

Position Description

Read each heading carefully before proceeding. Make statements simple, brief, and complete. Be certain the form is signed. Send the original to the Office of Personnel Services.

CHECK ONE: ☐ NEW POSITION ☐ EXISTING POSITION ☒ UNCLASSIFIED

Part 1 - Items 1 through 12 to be completed by department head or personnel office.

1. Agency Name Department for Children and Family Services		9. Position No. K0228833	10. Budget Program Number 01114		Agency Number	
2. Employee Name (leave blank if position vacant)			11. Present Class Title (if existing position) Auditor (Staff Auditor)			Position Number
3. Division Audit Services			12. Proposed Class Title			
4. Section	For Use By Personnel Office	13. Allocation				
5. Unit		14. Effective Date				
6. Location (address where employee works) City Topeka County Shawnee		15. By	Approved			
7. (circle appropriate time) Full time Perm. Inter. Part time Temp. % Regular		16. Audit Date: By: Date: By:				
8. Regular hours of work: (circle appropriate time) FROM: 8:00 AM/PM To: 5:00 AM/PM	17. Audit Date: By: Date: By:					

PART II - To be completed by department head, personnel office or supervisor of the position.

18. If this is a request to reallocate a position, briefly describe the reorganization, reassignment of work, new function added by law or other factors which changed the duties and responsibilities of the position:

19. Who is the supervisor of this position? (person who assigns work, gives directions, answers questions and is directly in charge)?

Name	Title	Position Number
Mary S. Hoover	Audit Director	K0124714

Who evaluates the work of an incumbent in this position?

Name	Title	Position Number
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20. a) How much latitude is allowed employee in completing the work? b) What kinds of instructions, methods and guidelines are given to the employee in this position to help do the work? c) State how and in what detail assignments are made.

The auditor in this position works on audits, consulting and special projects assigned by the Audit Director. These audits include compliance, financial, performance, and information technology audits for the agency. Audit plans are approved by the Audit Director, Audit Senior or Lead Auditor. Works independently on assignments that do not require a team. May lead another staff auditor on a project. Directions are given orally or in writing by the Audit Director, Audit Senior or Lead Auditor but the incumbent must be able to use his/her education, skills and training to make sound, professional conclusions and judgments.

21. Describe the work of this position using the page or one additional page only. (Use the following format for describing job duties):

What is the action being done (use an action verb); to **whom** or **what** is the action directed (object of action); **why** is the action being done (be brief); **how** is the action being done (be brief). For each task state: Who reviews it? How often? What is it reviewed for?

Number Each Task and Indicate Percent of Time and Identity each function as essential or marginal by placing an E or M next to the % of time for each task. Essential functions are the primary job duties for which the position was created and that an employee must be able to perform, with or without reasonable accommodation. A marginal function is a peripheral, incident of minimal part of the position.

No. Each Task and Indicate Percent of Time	E or M	
		<p>The person in this position has access to protected health information (PHI) under the provisions of the Health Information Portability Act of 1996 (HIPAA) Privacy Rule. PHI must be treated in accordance with the provisions of the HIPAA Privacy Regulation including the requirements for safeguarding, releasing and recording the release of such information. The person will receive training in the provision of the HIPAA Privacy Regulations as they relate to the duties of this position and has signed a confidentiality agreement.</p> <p>In addition to the tasks listed below, the incumbent is expected to communicate the Mission, Vision and Guiding Principles of the agency to peers, clients and the public; identify personal strengths and developmental needs to increase job performance and long-term career growth. Continually analyze work processes, seek new approaches and make recommendations to enhance efficiency and effectiveness of the agency. Works in a harmonious and cooperative fashion with other staff to provide efficient and effective customer service. Uses free time as available to assist other staff in the completion of work assignments. Contributes to a positive work environment through a positive, helpful, courteous demeanor towards staff, clients, and the general public. Adheres to appropriate standards of conduct regarding the use of leave and reports to work on time.</p>
1. 10%	E	<p><u>Planning.</u> For simple projects, and when assisting in more complex projects, identifies the scope of the assigned audit, review, evaluation, consulting or special project under the supervision of the Audit Director, Audit Senior or Lead Auditor. Helps develop research and work plans; helps develop measurable criteria used to test conformity with State and Federal regulations, established policies and procedures and in accordance with Generally Accepted Auditing/Accounting Practices; helps ascertain the level and type of research required to address the audit scope and provider compliance; helps identify data sources needed and available to complete the audit; and assists in establishing timelines for completion of each audit. Work is accomplished by having a working knowledge and understanding of auditing procedures, applied research methods, State and Federal regulations, and policies and procedures governing the entity or provider being audited. Review of work is completed by the Audit Manager, Senior or Lead Auditor for thoroughness of plan and its ability to achieve the desired objective.</p>
2. 75%	E	<p><u>Performing Audits, Reviews, Evaluations, Consultations and Special Projects.</u> Conducts studies within the scope of the audit plan independently or with assistance of other auditors within the unit; designs instruments and collects data related to the audit plan from the responsible persons with sufficient comprehensiveness, frequency and accuracy to permit reliable conclusions to be drawn within established time frames. Collects data through case reviews, surveys, observation, inspection of operational procedures or other means necessary to determine compliance or performance. Prepares and maintains working papers that are complete, concise, understandable and can be referenced, and contain sufficient information to support findings and conclusions. Performs quantitative and qualitative evaluation of data collected in order to draw conclusions about work related to audit objectives, which are complete, logical, clear and supported by evidence obtained or developed during the audit. Performs statistical analysis and develops tables, and other statistical products that will aid in the communication of results, if necessary. Material is to be accurate, supportable, and statistically accurate. Periodic progress reports are provided to the Audit Director, Senior or Lead Auditor. Review of work is completed by the Audit Director, Senior or Lead Auditor for completeness of information and reliability of results.</p>
3. 10%	E	<p><u>Communicating Results.</u> Based on results of the work plan, evaluation, and/or facilitation as required for the project, prepares a report that is clear, concise and easily understood by the audience who may include other State personnel and the general public. Reports must contain all the basic elements i.e., background, opinion,</p>

4. 5%	M	<p>compliance statements, scope, findings, recommendations, and implementation steps as appropriate. Prepares memoranda and letters that respond to or ask questions about the work of the project. Drafts special reports as requested by management. All reports are in compliance with the report standards as set forth in applicable audit and consulting standards. Review of work is completed by the Audit Director, Senior or Lead Auditor for completeness of information, reliability of results and clarity of report.</p> <p><u>Miscellaneous.</u> Participates in training, conferences, staff meeting and other events. Performs other duties as assigned.</p>
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Key Skills and Competencies

The individual in this position should have the following skills and competencies after a year in the position:

- Ability to complete simple to moderate difficulty audits on own.
- Ability to work somewhat independently with some oversight.
- Ability to perform audit steps in a complex audit plan developed by upper level auditors.
- Ability to facilitate and present simple oral findings/report.
- Understanding of the audit process in general and specific to the DCF Office of Audit (as per audit manual).
- Basic knowledge of controls and risk assessments and how to apply them.
- Understanding of audit standards and how they apply to the work.
- Understanding of the basic structure and functions of DCF.
- Good working familiarity of the agency email applications, MS Office and Teammate.
- Ability to think critically and analyze data.
- Ability to effectively communicate during the audit (interviews, exit conferences, update meetings, etc.) and in office and agency activities.
- Ability to complete personal work with minimal errors and on time. Rework is limited.

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- Ability to provide written findings and recommendations and prepare a report for simple to moderate difficulty audits.
 - Ability to multitask projects and activities appropriate for the classification level.
 - Desire to learn and continue development of skills through audit training.
 - Understanding of what leadership means within DCF and the audit function and beginning development of those skills.

22. a. If work involves leadership, supervisory, or management responsibilities, check the statement which best describes the position:

- () Lead worker assigns, trains, schedules, oversees, or reviews work of others.
- () Plans, staffs, evaluates, and directs work of employees of a work unit.
- () Delegates authority to carry out work of a unit to subordinate supervisors or managers.

b. List the names, class titles, and position numbers of all persons who are supervised directly by employee on this position.

Name	Title	Position Number
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The person in this position may not directly supervise anyone but may lead another individual on the same classification during an audit project. The incumbent also assists clerical staff in gathering data for audits.

23. Which statement best describes the results of error in action or decision of this employee?

- () Minimal property damage, minor injury, minor disruption of the flow of work.
- (X) Moderate loss of time, injury, damage or adverse impact on healthy and welfare of others.
- () Major program failure, major property loss, or serious injury or incapacitation.
- () Loss of life, disruption of operations of a major agency.

Please give examples.

24. For what purpose, with whom and how frequently are contacts made with the public, other employees or officials?

In auditing the person will contact employees or representatives of providers or grantees to obtain information about cost reporting, sales or lease transactions, facility census, and audit arrangements. The person also contacts DCF employees to obtain information relevant to an audit or discuss policies and accounting, program and internal control issues. As part of an audit they may contact CEO's, attorneys, CPAs, agency accountants, program staff, corporate officers, agency management staff and others. In consulting the person will have frequent contacts with managers and others inside and outside the agency.

25. What hazards, risks or discomforts exist on the job or in the work environment?

- Travel to and from audit and other work related sites throughout the State, which may require overnight travel.
- Sometimes the accommodations or work environment are not suitable.
- Stress from adversarial relationships that sometimes develop from tension with employees or representatives of auditees.
- Stress from participating in adversarial proceedings such as in group settings working on problem resolution and audit exit conferences or trials.
- Eye strain from the constant use of computers.

26. List machines or equipment used regularly in the work of this position. Indicate the frequency with which they are used:

The work requires routine daily use of PCs, copiers, fax machines, telephones.

PART III - To be completed by the department head or personnel office

27. List the minimum amounts of education and experience which you believe to be necessary for an employee to begin employment in this position.

Education - General

As stated in specifications. Two years of experience in examining internal work processes, financial and operational records and controls to assess effectiveness, accuracy of records and compliance with statutes, regulations and professional/legal standards. Education in accounting/ auditing, business administration, or economics may be substituted for experience as determined relevant by the agency.

Education or Training - special or professional

Licenses, certificates and registrations

Special knowledge, skills and abilities

Microsoft Office Suite Skills

College Degree preferably in accounting/auditing, business administration, economics, math, statistics, information systems, etc.

Knowledge and understanding of accounting principles and audit standards, through education and/or experience.

Knowledge of research and statistical practices including principles and methods; ability to analyze and evaluate complex problems.

Experience with databases, data analysis and reporting tools, e.g. Excel ActiveData. Experience in collecting, evaluating, studying or reporting on statistical, economic, fiscal/budget, legislative or administrative data.

Experience - length in years and kind

28. SPECIAL QUALIFICATIONS

State any additional qualifications for this position that are necessary either as a physical requirement of an incumbent on the job, a necessary special requirement, a bona fide occupational qualification (BFOQ) or other requirement that does not contradict the education and experience statement on the class specification. A special requirement must be listed here in order to obtain selective certification.

Must maintain security clearance throughout employment.

Signature of Employee Date

Signature of Personnel Official Date

Approved:

Signature of Supervisor Date

Signature of Agency Head or
Appointing Authority Date